

10/5/2006

AP20 Rec'd PCT/P 15 MAY 2006

Express Mail #EV815067969US

Attorney Docket # 5367-239PUS

Patent

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re National Phase PCT Application of

Tony ALBRECHT et al.

Int'l PCT Serial No.: PCT/DE2004/002477

Int'l Filing Date:: November 9, 2004

For: VCSEL Pumped in a Monolithically  
Optical Manner and Comprising a  
Laterally Applied Edge Emitter

**INFORMATION DISCLOSURE STATEMENT**

Mail Stop PCT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

SIR:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56 and in accordance with the practice under 37 C.F.R. §§ 1.97 and 1.98, the Examiner's attention is directed to the documents listed on the enclosed Form PTO SB/08A.

In accordance with 37 C.F.R. §§ 1.97(g) and (h), the filing of this Information Disclosure Statement should not be construed as a representation that a search has been made or that information cited is, or is considered to be, material to patentability as defined in § 1.56(b), or that any cited document listed or attached is (or constitutes) prior art. Unless otherwise indicated, the date of publication indicated for an item is taken from the face of the item and Applicant(s) reserve(s) the right to prove that the date of publication is in fact different.

101579528

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Submitted herewith is a copy of the International Search Report issued in connection with International Application on which the present U.S. National Phase application is based.

Copies of the references cited in the International Search Report have been supplied by WIPO to the USPTO. Therefore, copies of the cited references in the International Search Report are not being provided herewith in accordance with current U.S. practice because they should be on file already at the USPTO.

It is respectfully requested that the Examiner return an initialed copy of the attached Form PTO SB/08A to confirm that the publications supplied by WIPO and listed therein have been considered and made of record.

Respectfully submitted,  
COHEN, PONTANI, LIEBERMAN & PAVANE

By Thomas Langer,  
Thomas Langer  
Reg. No. 27,264  
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Dated: May 15, 2006

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Substitute for Form 1449/PTO		<i>Complete if Known</i>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (Use as many sheets as necessary)		Application Number	10/570528
		Filing Date	
		First Named Inventor	Tony ALBRECHT
		Art Unit	
		Examiner Name	
Sheet	1	of	1
		Attorney Docket Number	5367-239PUS

## **U.S. PATENT DOCUMENTS**

## **FOREIGN PATENT DOCUMENTS**

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> , Number <sup>4</sup> Kind-Code <sup>5</sup> (if known)	MM-DD-YYYY			
/PN/		JP 2003 283051 A	10/03/2003	Toshiba Corp.		
/PN/		DE 101 29 616 A1	01/09/2003	Infineon Technologies		
/PN/		DE 102 14 120 A1	10/23/2003	Osram Opto Semiconductors GmbH		
/PN/		WO 03/094311 A	11/13/2003	Osram Opto Semiconductors GmbH		

Examiner Signature	/Phillip Nguyen/	Date Considered	04/03/2008
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. \*Applicant's unique citation designation number (optional). \*See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. \*Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). \*For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. \*Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. \*Applicant is to place a check mark here if English language Translation is attached.

Standard S1. 16 If possible. \*Applicant is to place a check mark here if English language Translation is attached.  
This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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Monolithically Optical Manner and  
Comprising a Laterally Applied  
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Check box if applicable:  
 DUPLICATE

Commissioner for Patents  
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SIR:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56 and in accordance with the practice under 37 C.F.R. §§ 1.97 and 1.98, the Examiner's attention is directed to the documents listed on the enclosed Form PTO/SB/08a. A copy of the listed non-U.S. document is enclosed.

USP 6,954,479 B2 corresponds to WO 01/93386 A1.

The references submitted herewith have been discussed on pages 1 and 2 of the instant specification.

10/579528

AP20R REC'D. C.I.P.T.O 15 MAY 2006

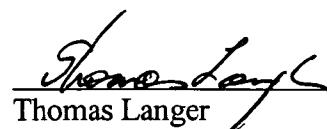
It is respectfully requested that the above information be considered by the Examiner and that the copy of the enclosed Form PTO/SB/08a be returned indicating that such information has been considered.

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If any fees or charges are deemed required at this time in connection with the application, the same may be charged to our Patent and Trademark Office Deposit Account No. 03-2412.

Respectfully submitted,  
COHEN, PONTANI, LIEBERMAN & PAVANE

By:

  
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(212) 687-2770

Dated: May 15, 2006

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Substitute for Form 1449/PTO		<i>Complete if Known</i>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (Use as many sheets as necessary)		Application Number	18/579528
		Filing Date	
		First Named Inventor	Tony ALBRECHT
		Art Unit	
		Examiner Name	
Sheet	1	of	2
		Attorney Docket Number	5367-239PUS

## **U.S. PATENT DOCUMENTS**

## **FOREIGN PATENT DOCUMENTS**

Examiner Signature	/Phillip Nguyen/	Date Considered	04/03/2008
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 'Applicant's unique citation designation number (optional). 'See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 'Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 'For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 'Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. \* Applicant is to place a check mark here if English language Translation is attached.

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		Filing Date	
		First Named Inventor	Tony ALBRECHT
		Art Unit	
		Examiner Name	
Sheet	2	of	2
		Attorney Docket Number	5367-239PUS

## **NON PATENT LITERATURE DOCUMENTS**

Examiner Signature	/Phillip Nguyen/	Date Considered	04/03/2008
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